

UNITED STATES DEPARTMENT OF AGRICULTURE  
RURAL DEVELOPMENT

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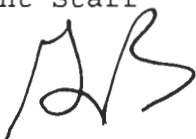
For Administrative Use Only

Missouri RD AN No. 1438

September 26, 2006

TO:            All Rural Development Staff

FROM:        Gregory C. Branum  
               State Director



SUBJECT:     2006 Performance Appraisals and 2007 Performance Plans

**PURPOSE/INTENDED OUTCOME:** This AN is issued to provide instructions on completing the 2006 Performance Appraisal, Form AD-435, and to provide guidance on completing the 2007 Performance Plan, Forms AD-435A&B.

**COMPARISON WITH PREVIOUS AN:** This AN replaces Missouri AN No. 1433 dated October 7, 2005.

**IMPLEMENTATION RESONSIBILITIES:**

Rural Development's performance appraisal cycle is October 1 through September 30 of each year. Each employee should have a Performance Plan, Forms AD-435A&B, in place for this period and the information entered into EmpowHR (i\*CAMS). There should be at least one progress review during the appraisal cycle. The rating official should have entered the review in EmpowHR and the employee should have viewed it in EmpowHR so that EmpowHR will indicate the progress review was held.

Supervisors are required to complete a Rating of Record on each employee within 30 days of the end of the appraisal period. The employee's performance should be rated for each element as "Exceeds Fully Successful", "Meets Fully Successful", or "Does Not Meet Fully Successful". Documentation is required for any element appraised as "Does Not Meet Fully Successful" or "Exceeds Fully Successful". Ratings of record must be approved by the reviewing official **prior** to communicating the rating to the employee.

Instructions on entering the Ratings in EmpowER are attached to this AN.

If an employee is not performing at the "Meets Fully Successful" level in any **critical** element, the summary rating must be "Unacceptable". Supervisors should not complete the rating on any employee with unacceptable performance. Instead, they should consult with the

EXPIRATION DATE:  
10-31-2007

FILING INSTRUCTIONS: Preceding  
RD Instruction 2060-A

second line supervisor (Area Director or State Director) and contact Martha Newsom in the State Office immediately for specific guidance. (An "Unacceptable" rating requires written comments to be attached to the Performance Work Plan/Appraisal and must be signed by the rating official and reviewing official prior to presenting to the employee for signature.) "Results Not Achieved" ratings will not be entered in EmpowHR until all of the above has been accomplished.

If an employee's Rating of Record is "Marginal", any within-grade increase must be withheld until the most recent Rating of Record is "Fully Successful". Supervisors should contact Martha Newsom on any employee receiving a "Marginal" rating.

Supervisors should use the rating conference as an opportunity to discuss areas of performance that could be improved as well as to provide specific positive feedback. Employees should also be allowed to provide feedback during the conference. Once the Rating of Record has been entered in EmpowHR, the Reviewer has concurred, and the employee has viewed the rating, supervisors should send Martha Newsom an email indicating the process is complete for all subordinate employees. This should be accomplished no later than November 9, 2006. Both the employee and supervisor can print out a copy of the Rating through the EmpowHR system. Physical signatures are not required; the electronic version will suffice.

#### **2007 Performance Plans:**

The performance elements and standards that have been provided to the Area and Program Directors should be used for FY 2007. If a supervisor needs to deviate from the elements and standards provided, please contact Martha as certain criteria must be met.

Be reminded that you can use the rating conference as an opportunity to put the new Performance Plans in place. With the implementation of the new five-tier Performance Management System, rating officials are reminded that it is especially important to inform subordinate employees of the expected levels of performance, how their duties support the desired organizational expectations, and to provide feedback throughout the appraisal period.

The 2007 Performance Plan should be initiated through EmpowHR within 30 days of the beginning of the appraisal period. You will not need to obtain signatures; the electronic version will suffice.

Instructions on entering the Performance Plans into EmpowHR are attached to this AN.

**Reminder:** Since the 5 tier performance management system requires concurrence of the Reviewer; the supervisor will no longer be required to finalize the plan in EmpowHR; it will be done by the Reviewer.

It is not necessary to send a copy of the 2007 plan to the State Office.

If you have any questions concerning this AN, please contact Martha.